

# **STATE WATER RESOURCES CONTROL BOARD DISBURSEMENT REQUEST INSTRUCTIONS FOR STATE REVOLVING FUND LOANS**

This document provides instructions for requesting disbursement for the State Revolving Fund Loan.

## **WHEN TO REQUEST DISBURSEMENT**

Disbursement requests can be submitted to the Division of Clean Water Programs (DCWP) on a monthly basis after the contract (or amendment, as appropriate) has been executed.

## **DISBURSEMENT REQUEST FORM**

Disbursement requests must be submitted on Form No. 260, Request for Loan Disbursement or Grant Disbursement. Form No. 260 is transmitted to the loan recipient at the time the executed contract or amendment is transmitted. A copy of Form No. 260 is included as Attachment "A".

## **AUTHORIZED REPRESENTATIVE**

The application for the loan included a copy of the resolution by the governing body of the recipient designating its "Authorized Representative" who is authorized to sign documents and represent the agency relative to the loan program. The Form No. 260 lists the name and title of the authorized representative. If your agency uses a "Designated Representative (Designee)" instead of the agency's appointed Authorized Representative as executor, please provide a letter of explanation indicating **NAME** and **TITLE** of the representative. This letter must be signed and dated by the Agency's appointed Authorized Representative in order to be effectual.

In the event that a new Authorized Representative is named, a resolution authorizing the new representative must be submitted. Note: If the authorizing resolution identified the Authorized Representative by title or position rather than name, a new resolution may not be required. In such cases, a formal letter of appointment will suffice.

## **CERTIFICATION OF EXPENDITURES**

To comply with the 1986 Federal Tax Reform Act, recipients must “certify” that (1) costs claimed have been incurred and that these costs have been paid or will be paid within thirty (30) days of receipt of the loan funds requested, (2) if the costs have not been paid within 30 days, funds remaining will be returned to the State Water Resources Control Board (SWRCB), and (3) that all prior funds received from the loan program have been disbursed within 30 days of receipt or have been returned to the SWRCB.

The recipient is also certifying that the costs claimed are specific to the loan and within the approved scope of work.

## **COMPLETING FORM NO. 260 -- REQUEST FOR LOAN OR GRANT DISBURSEMENT (ATTACHMENT “A”)**

The Form No. 260 will be partially completed by the SWRCB staff before being sent to the recipient. The recipient must:

1. Enter the submittal date.
2. Enter the Disbursement Request Number.
3. Enter the eligible construction completion percentage (refer to Attachment “B”).
4. Enter total costs incurred to date in Column (C), except construction costs. (For construction costs see the section of these instructions titled Completing Form No. 259 -- Construction Contractor Spreadsheet.)
5. Refer to **Attachment “B”** for complete details on how to calculate the allowances.
6. Have the Authorized Representative sign and date the “Recipient Certification” portion of Form No. 260.

No other entries or adjustments to the form should be made. A copy of the processed Form No. 260 will be sent to the recipient showing the date processed and the amount to be disbursed.

**COMPLETING FORM NO. 259 -- CONSTRUCTION CONTRACTOR  
SPREADSHEET (ATTACHMENT "C")**

If disbursement is being requested for construction work, the recipient must include (1) Form No. 259, "Construction Contractor Spreadsheet", and (2) a signed construction contractor's pay estimate. A copy of Form No. 259 is included as Attachment "B".

Form No. 259 is transmitted to the recipient as an enclosure to the letter transmitting Form No. 260 whenever construction costs are part of the loan contract. Form No. 259 will be partially completed by the DCWP. The recipient must:

1. Enter the submittal date.
2. Enter the Disbursement Request Number.
3. Enter work completed for bid items into Column (G), "Total Work Completed to Date".
  - o Percent of work completed to date must be entered for lump sum items.
  - o Quantity of work completed to date must be entered for items bid by unit price.
4. Calculate "Total Costs Incurred to Date", Column (H), for each bid item by multiplying Column (E), "Unit Price", times Column (G), "Total Work Completed to Date". Enter this figure into Column (H).
5. If there are materials on hand, enter this figure into Column (H).
6. Any retention withheld from the contractor should be entered into Column (H), unless the retention was deposited into Escrow or a Certificate of Deposit. The recipient must include a copy of the statement of deposit for any contractor retention funds that have been deposited into Escrow or a Certificate of Deposit.
7. Calculate "Total Eligible Costs Claimed for Payment" by multiplying Column (H) times Column (I), "Eligible Percent". Enter this figure into Column (J).
8. Total Column (H). Enter this figure on the Form No. 260, Column (C) for construction costs.
9. Total Column (J). Enter this figure on the Form No. 260, Column (E) for construction costs.

Columns (K), (L), and (M) will be completed by DCWP. However, the recipient may complete these columns for their own information.

With the Form Nos. 259 and 260, the recipient must include a copy of the construction contractor's pay estimate. The contractor's pay estimate must be itemized by bid item for the project as outlined in the original bid in the Approval to Award. If the contractor's pay estimate is itemized differently than what is outlined in the original bid document, then the recipient must provide documentation to show correlation between the contractor's pay estimate and the original bid. The contractor's pay estimate must be signed by both the loan recipient and the contractor.

### **WHERE TO SEND DISBURSEMENT REQUESTS**

Disbursement requests for the State Revolving Fund Loans should be mailed to:

Mike Harper, Chief  
Financial and Administration Unit  
Division of Clean Water Programs  
State Water Resources Control Board  
Post Office Box 944212  
Sacramento, CA 94244-2120

Street Address: 2014 T Street, Suite 130  
Sacramento, CA 95814

# ATTACHMENT "A"

## STATE WATER RESOURCES CONTROL BOARD

### REQUEST FOR LOAN OR GRANT DISBURSEMENT

**DISBURSEMENT REQUESTED FOR (CHECK ONE):**

<input type="checkbox"/> STATE REVOLVING FUND LOAN <input type="checkbox"/> WATER RECLAMATION LOAN <input type="checkbox"/> SEAWATER INTRUSION CONTROL LOAN <input type="checkbox"/> SMALL COMMUNITY GRANT <input type="checkbox"/> FACILITIES PLANNING GRANT	DATE: _____ DISBURSEMENT REQUEST NO. _____ LOAN/GRANT NO. _____ CONTRACT NO. _____ % ELIGIBLE CONSTRUCTION COMPLETE: _____
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LOAN/GRANT RECIPIENT: \_\_\_\_\_  
 STREET/P. O. BOX: \_\_\_\_\_  
 CITY AND ZIP CODE: \_\_\_\_\_  
 AUTHORIZED REPRESENTATIVE: \_\_\_\_\_ TITLE: \_\_\_\_\_

					STATE USE ONLY		
(A) DESCRIPTION	(B) LOAN/ GRANT AMOUNT	(C) COSTS INCURRED TO DATE	(D) ELIGIBLE PERCENT	(E) COSTS CLAIMED FOR PAY'T TO DATE	(F) COSTS APPROVED FOR PAY'T TO DATE	(G) AMOUNT PREVIOUSLY PAID	(H) APPROVED PAYMENT THIS REQUEST
<b>TOTAL</b>							

AMOUNT TO BE PAID

**COMMENTS:**

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**RECIPIENT CERTIFICATION**

I certify that the costs shown in column "C" have been incurred and that these costs have been paid or will be paid within 30 days of receipt of the funds requested hereby. If such costs have not been paid within 30 days, funds received under this request will be returned to the State Water Resources Control Board (SWRCB). I certify that all prior funds received from this loan/grant have been disbursed within 30 days of receipt or have been returned to the SWRCB.

I also certify that costs claimed are specific to the loan or grant and within the approved scope of work.

Signature of the Authorized Representative \_\_\_\_\_ Date \_\_\_\_\_

**STATE USE ONLY: APPROVAL FOR PAYMENT**

REVIEWED BY: \_\_\_\_\_ TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_

APPROVED BY: \_\_\_\_\_ TITLE: \_\_\_\_\_ DATE: \_\_\_\_\_

**ATTACHMENT "B"**  
**STATE REVOLVING FUND LOAN**  
**FORM 260 - ALLOWANCES**

**Planning and Design Allowance**

The Planning and Design Allowances are eligible for disbursement upon execution of the contract.

**Construction and Administration Allowances**

*Form 259 -- Construction Contractor Spreadsheet*

The Construction and Administration Allowances are prorated according to the construction completion percentage per the contractor's pay estimate submitted with the disbursement request. The percentage is derived by the following method:

$$\frac{\text{Subtotal Eligible Costs + MOH (Column J)}}{\text{Eligible Bid Amount (Column C)}} = \% \text{ of Construction Complete}$$

(e.g., 23.17% -- two places)

*Form 260 -- Request for Loan or Grant Disbursement*

To calculate the Costs Claimed for Payment to Date -- Column (E), multiply the Allowance -- Column (B) with the construction completion percentage. This figure is the maximum eligible for the allowance. If the cost incurred is less than the maximum eligible, then post the cost incurred amount in Column E.

**Prime Engineering Allowance**

Prime Engineering Allowance is eligible for disbursement after construction is complete (100 percent).

**ATTACHMENT "C"**  
**STATE WATER RESOURCES CONTROL BOARD**  
**CONSTRUCTION CONTRACTOR SPREADSHEET**  
**CONTRACTOR:**

MAIL TO:

PAYMENTS UNIT  
 DIVISION OF CLEAN WATER PROGRAMS  
 STATE WATER RESOURCES CONTROL BOARD  
 P.O. BOX 944212  
 SACRAMENTO, CA 94244-2120

LOAN NUMBER:

CONTRACT NUMBER :

RECIPIENT AGENCY:

AGENCY ADDRESS:

PAYMENT REQUEST NUMBER: #

AUTHORIZED REPRESENTATIVE:

PAGE:

DATE:

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)	(M)
ITEM NO	ITEM DESCRIPTION	ELIGIBLE CONTRACT DOLLARS	AS BID CONTRACT QUANTITY	UNIT DESCRIPTION (TON,C.Y., L.S.,ETC)	UNIT PRICE OR LUMP SUM	TOTAL WORK COMPLETED TO DATE (UNITS OR %)	TOTAL COSTS INCURRED TO DATE (FxG)	ELIGIBLE PERCENT	TOTAL ELIGIBLE COSTS (HxI)	AMOUNT PREVIOUSLY PAID	PAYMENT THIS REQUEST (J-K)	REMARKS
	CONTRACT BID ITEMS											
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
	SUBTOTAL CONTRACT ITEM DATA	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX		XXXXXXXXXX				
	MATERIALS ON HAND	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX						
	LESS RETENTION	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX						
	CONTRACT TOTALS		XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX		XXXXXXXXXX				

FORM No 259 (REV.4/92)

NOTE: ELIGIBILITY FOR MATERIALS ON HAND AND RETENTION COSTS IS BASED ON OVERALL PROJECT ELIGIBILITY.

## **STATE WATER RESOURCES CONTROL BOARD DISBURSEMENT REQUEST INSTRUCTIONS FOR LOCAL MATCH LOANS**

This document provides instructions for requesting disbursement for the State Revolving Fund Local Match Loan.

### **WHEN TO REQUEST DISBURSEMENT**

Disbursement requests can be submitted to the Division of Clean Water Programs (DCWP) on a monthly basis after the contract (or amendment, as appropriate) has been executed.

### **DISBURSEMENT REQUEST FORM**

Disbursement requests must be submitted on Form No. 261, Request for Loan Disbursement. Form No. 261 is transmitted to the loan recipient at the time the executed contract or amendment is transmitted. A copy of Form No. 261 is included as Attachment "A".

### **AUTHORIZED REPRESENTATIVE**

The application for the loan included a copy of the resolution by the governing body of the recipient designating its "Authorized Representative" who is authorized to sign documents and represent the agency relative to the loan program. The Form No. 261 lists the name and title of the authorized representative. If your agency uses a "Designated Representative (Designee)" instead of the agency's appointed Authorized Representative as executor, please provide a letter of explanation indicating **NAME** and **TITLE** of the representative. This letter must be signed and dated by the Agency's appointed Authorized Representative in order to be effectual.

In the event that a new Authorized Representative is named, a resolution authorizing the new representative must be submitted. Note: If the authorizing resolution identified the Authorized Representative by title or position rather than name, a new resolution may not be required. In such cases, a formal letter of appointment will suffice.

### **CERTIFICATION OF EXPENDITURES**

To comply with the 1986 Federal Tax Reform Act, recipients must "certify" that (1) costs claimed have been incurred and that these costs have been paid or will be paid within thirty (30) days of receipt of the loan funds requested, (2) if the costs have not been paid within 30 days, funds remaining will be returned to the State Water Resources Control Board (SWRCB), and (3) that all prior funds received from the loan program have been disbursed within 30 days of receipt or have been returned to the SWRCB.



The recipient is also certifying that the appropriate payment has been made with local funds that equate to at least the State match portion and that the costs claimed are specific to the loan and within the approved scope of work. In addition to the certification of payment, the recipient shall submit copies of the canceled checks on a quarterly basis documenting payment of the state match amount.

### **COMPLETING FORM NO. 261 -- REQUEST FOR LOAN DISBURSEMENT** **(ATTACHMENT "A")**

The Form No. 261 will be partially completed by the SWRCB staff before being sent to the recipient. The recipient must:

1. Enter the submittal date.
2. Enter the Disbursement Request Number.
3. Enter the construction completion percentage.
4. Enter total costs incurred to date in Column (C), except construction costs. (For construction costs see the section of these instructions titled Completing Form No. 259 -- Construction Contractor Spreadsheet.)
5. Please refer to **Attachment "B"** for complete details on how to calculate the allowances.
6. On the reverse side of Form No. 261, enter Disbursement Request Number at top right hand corner of the form.
7. Have the Authorized Representative sign and date the "Recipient Certification" portion of Form No. 261.

No other entries or adjustments to the form should be made. A copy of the processed Form No. 261 will be sent to the recipient showing the date processed and the amount to be disbursed.

### **COMPLETING FORM NO. 259 -- CONSTRUCTION CONTRACTOR SPREADSHEET** **(ATTACHMENT "C")**

If disbursement is being requested for construction work, the recipient must include (1) Form No. 259, "Construction Contractor Spreadsheet", and (2) a signed construction contractor's pay estimate. A copy of Form No. 259 is included as Attachment "B".

Form No. 259 is transmitted to the recipient as an enclosure to the letter transmitting Form No. 261 whenever construction costs are part of the loan contract. Form No. 259 will be partially completed by the DCWP. The recipient must:

1. Enter the submittal date.
2. Enter the Disbursement Request Number.
3. Enter work completed for bid items into Column (G), “Total Work Completed to Date”.
  - o Percent of work completed to date must be entered for lump sum items.
  - o Quantity of work completed to date must be entered for items bid by unit price.
4. Calculate “Total Costs Incurred to Date”, Column (H), for each bid item by multiplying Column (E), “Unit Price”, times Column (G), “Total Work Completed to Date”. Enter this figure into Column (H).
5. If there are materials on hand, enter this figure into Column (H).
6. Any retention withheld from the contractor should be entered into Column (H), unless the retention was deposited into Escrow or a Certificate of Deposit. The recipient must include a copy of the statement of deposit for any contractor retention funds that have been deposited into Escrow or a Certificate of Deposit.
7. Calculate “Total Eligible Costs Claimed for Payment” by multiplying Column (H) times Column (I), “Eligible Percent”. Enter this figure into Column (J).
8. Total Column (H). Enter this figure on the Form No. 261, Column (C) for construction costs.
9. Total Column (J). Enter this figure on the Form No. 261, Column (E) for construction costs.

Columns (K), (L), and (M) will be completed by DCWP.

With the Form Nos. 259 and 261, the recipient must include a copy of the construction contractor’s pay estimate. The contractor’s pay estimate must be itemized by bid item for the project as outlined in the original bid in the Approval to Award. If the contractor’s pay estimate is itemized differently than what is outlined in the original bid document, then the recipient must provide

documentation to show correlation between the contractor's pay estimate and the original bid. The contractor's pay estimate must be signed by both the loan recipient and the contractor.

### **WHERE TO SEND DISBURSEMENT REQUESTS**

Disbursement requests for the Local Match Loans should be mailed to:

Mike Harper, Chief  
Financial and Administration Unit  
Division of Clean Water Programs  
State Water Resources Control Board  
Post Office Box 944212  
Sacramento, CA 94244-2120

Street Address: 2014 T Street, Suite 130  
Sacramento, CA 95814

### **CANCELED CHECKS**

In accordance with the Policy, V.B.4.b., the loan recipient shall submit copies of the canceled checks on a quarterly basis which document payment of the state match amount to the contractor.

# ATTACHMENT "A"

## STATE WATER RESOURCES CONTROL BOARD

### REQUEST FOR LOAN DISBURSEMENT

<b>PAYMENT REQUESTED FOR:</b> <input type="checkbox"/> STATE REVOLVING FUND LOAN <input type="checkbox"/> LOCAL MATCH LOAN	<b>DATE:</b> _____ <b>DISBURSEMENT REQUEST NO.</b> _____ <b>LOAN NO.</b> _____ <b>CONTRACT NO.</b> _____ <b>% ELIGIBLE CONSTRUCTION COMPLETE:</b> _____
<b>LOAN RECIPIENT:</b> _____ <b>STREET/P. O. BOX:</b> _____ <b>CITY AND ZIP CODE:</b> _____ <b>AUTHORIZED REPRESENTATIVE:</b> _____ <b>TITLE:</b> _____	

STATE REVOLVING FUND LOAN					STATE USE ONLY		
(A) DESCRIPTION	(B) LOAN AMOUNT	(C) COSTS INCURRED TO DATE	(D) ELIGIBLE PERCENT	(E) COSTS CLAIMED FOR PAY'T TO DATE	(F) COSTS APPROVED FOR PAY'T TO DATE	(G) AMOUNT PREVIOUSLY PAID	(H) APPROVED PAYMENT THIS REQUEST
CONSTRUCTION							
ALLOWANCES:							
Planning							
Design							
Construction							
Administration							
Prime Engineering							
<b>TOTAL</b>							

					STATE USE ONLY		
LOCAL MATCH LOAN	CONVERSION EFFECTIVE DATE:						
CONSTRUCTION							
ALLOWANCES:							
Planning							
Design							
Construction							
Administration							
Prime Engineering							
<b>SUBTOTAL</b>							
LESS STATE MATCH							
<b>Total Local Match Loan</b>							

STATE USE ONLY			
SUMMARY	TOTAL ELIGIBLE TO DATE	LESS PREVIOUS	NET DISBURSEMENT
STANDARD SRF LOAN			
LOCAL MATCH LOAN			
SUBTOTAL			
LESS STATE MATCH			
<b>TOTAL</b>			

DISBURSEMENT REQUEST NO. \_\_\_\_\_

LOAN NO. \_\_\_\_\_

CONTRACT NO. \_\_\_\_\_

**DISBURSEMENT AMOUNT:** \_\_\_\_\_

**COMMENTS**


**RECIPIENT CERTIFICATION**

I certify that the costs shown in column "C" have been incurred and that these costs have been paid or will be paid within 30 days of receipt of the funds requested hereby. If such costs have not been paid within 30 days, funds received under this request will be returned to the State Water Resources Control Board (SWRCB). I certify that all prior funds received from this loan have been disbursed within 30 days of receipt or have been returned to the SWRCB.

In addition to the foregoing, where zero interest State Revolving Fund Loans apply, I certify that the appropriate payment has been made with local funds that equate to at least the State match portion.

I also certify that costs claimed are specific to the loan and within the approved scope of work.

\_\_\_\_\_  
**SIGNATURE OF AUTHORIZED REPRESENTATIVE**

\_\_\_\_\_  
**DATE**

**STATE USE ONLY: APPROVAL FOR PAYMENT**

**REVIEWED BY:**

\_\_\_\_\_  
**APPROVED BY:**

\_\_\_\_\_  
**TITLE**

\_\_\_\_\_  
**DATE**

\_\_\_\_\_  
**APPROVED BY:**

\_\_\_\_\_  
**TITLE**

\_\_\_\_\_  
**DATE**

**ACCOUNTING USE ONLY**


**ATTACHMENT "B"**  
**STATE REVOLVING FUND LOAN**  
**FORM 260 - ALLOWANCES**

**Planning and Design Allowance**

The Planning and Design Allowances are eligible for disbursement upon execution of the contract.

**Construction and Administration Allowances**

*Form 259 -- Construction Contractor Spreadsheet*

The Construction and Administration Allowances are prorated according to the construction completion percentage per the contractor's pay estimate submitted with the disbursement request. The percentage is derived by the following method:

$$\frac{\text{Subtotal Eligible Costs + MOH (Column J)}}{\text{Eligible Bid Amount (Column C)}} = \% \text{ of Construction Complete}$$

(e.g., 23.17% -- two places)

*Form 260 -- Request for Loan or Grant Disbursement*

To calculate the Costs Claimed for Payment to Date -- Column (E), multiply the Allowance -- Column (B) with the construction completion percentage. This figure is the maximum eligible for the allowance. If the cost incurred is less than the maximum eligible, then post the cost incurred amount in Column E.

**Prime Engineering Allowance**

Prime Engineering Allowance is eligible for disbursement after construction is complete (100 percent).

**ATTACHMENT "C"**  
**STATE WATER RESOURCES CONTROL BOARD**  
**CONSTRUCTION CONTRACTOR SPREADSHEET**  
**CONTRACTOR:**

MAIL TO:

PAYMENTS UNIT  
 DIVISION OF CLEAN WATER PROGRAMS  
 STATE WATER RESOURCES CONTROL BOARD  
 P.O. BOX 944212  
 SACRAMENTO, CA 94244-2120

LOAN NUMBER:

CONTRACT NUMBER :

RECIPIENT AGENCY:

AGENCY ADDRESS:

PAYMENT REQUEST NUMBER: #

AUTHORIZED REPRESENTATIVE:

PAGE:

DATE:

(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)	(J)	(K)	(L)	(M)
ITEM NO	ITEM DESCRIPTION	ELIGIBLE CONTRACT DOLLARS	AS BID CONTRACT QUANTITY	UNIT DESCRIPTION (TON,C.Y., L.S.,ETC)	UNIT PRICE OR LUMP SUM	TOTAL WORK COMPLETED TO DATE (UNITS OR %)	TOTAL COSTS INCURRED TO DATE (FxG)	ELIGIBLE PERCENT	TOTAL ELIGIBLE COSTS (HxI)	AMOUNT PREVIOUSLY PAID	PAYMENT THIS REQUEST (J-K)	REMARKS
	CONTRACT BID ITEMS											
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
	SUBTOTAL CONTRACT ITEM DATA	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX		XXXXXXXXXX				
	MATERIALS ON HAND	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX						
	LESS RETENTION	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX						
	CONTRACT TOTALS		XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX	XXXXXXXXXX		XXXXXXXXXX				

FORM No 259 (REV.4/92)

NOTE: ELIGIBILITY FOR MATERIALS ON HAND AND RETENTION COSTS IS BASED ON OVERALL PROJECT ELIGIBILITY.